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NASA Procedural Requirements

COMPLIANCE IS MANDATORY

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Request Notification of Change

(NASA Only)

Subject: NASA Procedural Requirements for Mishap and Close Call Reporting, Investigating, and Recordkeeping w/Change 5 (03/15/2010)

Responsible Office: Office of Safety and Mission Assurance

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Chapter 7. Post-Investigation Activities

7.1 Develop CAP

7.1.1 Immediately after the mishap report has been authorized for public release, the appointing official shall direct the responsible organization or program/project to develop a CAP for those recommendations approved by the endorsing officials ([Requirement 31484](#)).

7.1.2 The appointing official may extend the CAP deadline upon written request from the responsible organization or program/project.

7.1.3 Within 15 workdays from being tasked, the responsible organization or program/project shall develop and submit the CAP to the appointing official ([Requirement 31486](#)).

7.2 CAP Contents

7.2.1 The CAP shall include the following:

a. A description of the corrective actions along with a designation of the organization(s) responsible for implementing the corrective actions and a completion date for each corrective action ([Requirement 31489](#)).

b. Which NASA organization, contractor organization, or grantee organization (to the

lowest level) is responsible for ensuring the corrective action is completed ([Requirement 31490](#)).

c. A matrix or other means of matching corrective actions to all findings and recommendations ([Requirement 31491](#)).

d. A review of any process changes required based on corrective actions ([Requirement 31492](#)).

7.3 Review and Approve CAP

7.3.1 The appointing official may provide the CAP to the investigating authority, applicable safety organization, and other selected offices as is deemed appropriate for review.

7.3.2 Based on the results of these reviews and his/her own review, the appointing official shall either accept or reject the CAP ([Requirement 31495](#)).

7.3.3 If the plan is rejected, the appointing official shall return the CAP, with comments, to the responsible organization or program/project for revision and resubmission ([Requirement 31496](#)).

7.3.4 The appointing official shall determine the timeframe for resubmission of the CAP ([Requirement 31497](#)).

7.4 Implement CAP

7.4.1 The responsible organization shall implement the corrective actions as directed by the appointing official and as documented in the approved CAP ([Requirement 31499](#)).

7.4.2 The responsible organization shall track the corrective action performance and completion in IRIS and inform the appointing official of the status of the actions at intervals determined by the appointing official ([Requirement 31500](#)).

7.4.3 Close calls involving aircraft that have been entered into the NAARS, in lieu of IRIS, must track the corrective action performance and completion in NAARS.

7.4.4 The Center safety office shall assist the responsible organization, if needed, to enter updates into IRIS, as described in the Center Mishap Preparedness and Contingency Plan ([Requirement 31501](#)).

7.4.5 The Center safety office shall enter into IRIS the actual direct cost of the mishap or if the actual direct cost is not available, the estimate of the direct cost of the mishap ([Requirement 31502](#)).

7.4.6 Should a need arise to change the CAP after it has been approved (because the actions are deemed unwise or not feasible), the responsible organization shall submit the change to the appointing official for approval, similar to the process used for the original plan approval ([Requirement 31502](#)).

7.4.7 The appointing official shall assess and, if warranted and desired, approve any changes to the CAP ([Requirement 31503](#)).

7.4.8 The appointing official shall send approved changes to the responsible organization and the Center safety office ([Requirement 31504](#)).

7.5 Monitor and Closeout CAP

7.5.1 The applicable Center safety office shall monitor corrective action activities to determine if they were carried out according to the plan and report noncompliance to the appointing official ([Requirement 31506](#)).

7.5.2 When the corrective actions are closed, the appointing official shall develop and provide a CAP closure statement to the supporting Center safety office and the responsible organization to notify them that the corrective action plan is closed ([Requirement 31507](#)).

7.5.3 The Center safety office shall verify that the CAP is complete and all elements of the investigation have been completed and correctly recorded in IRIS (or NAARS for aviation close calls using NAARS in lieu of IRIS) ([Requirement 31508](#)).

7.6 Develop, Disposition, Submit, and Approve Lessons Learned

7.6.1 Following the authorization of the mishap report for public release, the appointing official shall designate a person or team of persons to develop the lessons learned identified in the mishap report ([Requirement 31510](#)).

7.6.2 The individual or team shall develop lessons learned that, at a minimum, include the executive summary, findings, and recommendations from the mishap report that are authorized for public release. ([Requirement 31511](#)).

7.6.3 Program and/or project managers that have mission failures or NASA mishaps for long-duration missions shall develop lessons learned for possible application to existing or future programs ([Requirement 31512](#)).

7.6.4 Within 10 workdays of being tasked, the person or team assigned to develop lessons learned shall submit the prepared lessons learned to the appointing official ([Requirement 31513](#)).

7.6.5 Prior to submission into NASA Lessons Learned Information System (LLIS), NASA program and policy officials, including, but not limited to, legal, import/export control, and public affairs, shall:

a. Review the proposed lessons learned to ensure they are consistent with NASA policy and do not contain any privileged or proprietary information, ITAR information, EAR information, or material subject to the Privacy Act ([Requirement 31515](#)).

b. Provide the appointing official with a written statement indicating that the lessons learned are cleared for submission into the NASA LLIS ([Requirement 31516](#)).

7.6.6 Based on the results of the review of the lessons learned, the appointing official shall either accept or reject the lessons learned and forward accepted lessons learned to the NASA LLIS ([Requirement 31517](#)).

7.6.7 OCE and program managers shall review the LLIS quarterly to determine if any mishap lessons learned should be translated into programmatic or Agency requirements ([Requirement](#)).

7.7 Conclude Mishap Activities

7.7.1 The appointing official shall submit the mishap activities completion statement to the responsible organization, OSMA/SARD (For Type A mishaps, Type B mishaps, high-visibility mishaps, and high-visibility close calls), the Center safety office, and other appropriate organizations indicating that the investigation was performed; the CAP was developed, implemented, and closed; and the lessons learned have been entered into the NASA LLIS ([Requirement 31519](#)).

7.7.2 Once the appointing official has delivered the mishap activities completion statement, his/her duties for the mishap investigation are concluded, and the mishap file is closed.

7.8 Record and Retain Evidence

7.8.1 The final CAP and approved lessons learned shall be filed with the official approved mishap report in a location specified in the Center Mishap Preparedness and Contingency Plan ([Requirement 31522](#)).

7.8.2 NASA medical reports and witness statements are excluded from a mishap report, but should be retained, marked confidential and privileged, and filed with the official approved mishap report.

7.8.3 The CAP, lessons learned, and witness statements, plus other records documenting the investigation, shall be managed and dispositioned by the Center safety office in accordance with NPR 1441.1, NASA Records Retention Schedule ([Requirement 31524](#)). Such records, regardless of format, include, but are not limited to, mishap reports and associated records; relevant notes and e-mail messages of the IRT and investigation authority; meeting agendas, minutes, and other documentation of the investigation process; and copies of all data and records that are used in evaluation and analysis of the mishap.

7.8.4 Ensure that NASA information is protected and handled in accordance with the requirements of NPR 1600.1, NASA Security Program Procedural Requirements; NPR 2190.1, NASA Export Control Program; and NPR 2810.1, Security of Information Technology.

Note: It is NASA policy to protect NASA information that is commensurate with the national security classification level, sensitivity, value, and criticality in accordance with NPR 1600.1, NASA Security Program Procedural Requirements; NPR 2190.1, NASA Export Control Program; and NPR 2810.1, Security of Information Technology. The FISMA act and other Federal laws and directive; e.g., International Traffic in Arms Regulations (ITAR) requires the Agency head (NASA Administrator) to provide information security and security controls to meet the requirements of these and other Federal Laws and directives which are specified in this NPR and is applicable for all who provide, use, or have access to NASA information.

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